



PATENT #4

IN THE UNITED STATES

PATENT AND TRADEMARK OFFICE

APPLICANTS: Anu K. Pathria, et al.
SERIAL NO.: 09/606,575
FILING DATE: June 28, 2000
TITLE: Cascaded Profiles for Multiple Interacting Entities
EXAMINER: Unknown
GROUP ART UNIT: 2751
ATTY. DKT. NO.: 4970

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner For Patents, Box Missing Parts, Washington, D.C. 20231, on the date shown below:

Dated: B 2/21/01

By: Robert R. Sachs

Robert R. Sachs, Reg. No.: 42,120

BOX MISSING PARTS
COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

RESPONSE TO NOTICE TO FILE MISSING
PARTS OF APPLICATION

SIR:

Responsive to the Formalities Letter dated September 25, 2000 received in the above-identified patent application, enclosed are:

- ☒ a copy of the Notice to File Missing Parts;
- ☒ an original, signed Declaration;
- ☐ Assignment and PTO-1619A;

03/01/2001 SDENB01 00000034 09606575

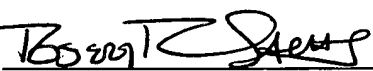
01 FC:117

890.00 DP

☒ Other: check #23163 in the amount of \$1,524 and check #4425 in the amount of \$1,356 to cover the application filing fees, the missing parts surcharge, and a three month extension of time.

Respectfully submitted,
ANU K. PATHRIA, ET AL.

Dated: 2/22/01

By: 

Robert R. Sachs, Reg. No.: 42,120
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306
Tel.: (415) 875-2410
Fax.: (415) 281-1350

13553/04970/SF/5042443.1



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/606,575	06/28/2000	Anu K. Pathria	4970

Robert R Sachs Esq
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306

FORMALITIES LETTER



OC000000005423724

Date Mailed: 09/25/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$1170.
 - \$468 for 26 total claims over 20.
 - \$702 for 9 independent claims over 3 .
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 820.00.

03/01/2001 SDENB081 00000034 192555 09606575
01 FC:117 890.00 00

A copy of this notice **MUST** be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/01/2001 SDENB081 00000034 192555 09606575
02 FC:105 130.00 00
03 FC:103 468.00 00
04 FC:101 710.00 00
05 FC:102 682.00 00
38.00 CH



Set 90K

PTO/SB/21 (modified)
Approved for use through xx/xx/xx, OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

TRANSMITTAL FORM <i>(to be used for all correspondence during pendency of filed application)</i>	0001/PTO Rev. 10/95	U.S. Department of Commerce Patent and Trademark Office	Application Number	09/606,575
			Filing Date	June 28, 2000
			First Named Inventor	Anu K. Pathria
			Group Art Unit Number	2751
			Examiner Name	Unknown
Total Number of Pages in This Submission		8	Attorney Docket Number	4970

ENCLOSURES (check all that apply)	
<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <input checked="" type="checkbox"/> Check Enclosed <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Response to Notice to File Missing Parts <input type="checkbox"/> Assignment & Recordation Cover Sheet <input checked="" type="checkbox"/> Declaration <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Information Disclosure Statement & PTO-1449 <input type="checkbox"/> Copies of IDS Cited References <input type="checkbox"/> Request for Corrected Filing Receipt <input type="checkbox"/> Request for Correction of Recorded Assignment <input type="checkbox"/> Amendment/Response: [] Page(s) <input type="checkbox"/> After Final <input type="checkbox"/> Status Request <input type="checkbox"/> Revocation and Power of Attorney	<input type="checkbox"/> Issue Fee Transmittal <input type="checkbox"/> Letter to Chief Draftsperson <input type="checkbox"/> Formal Drawing(s): [] Sheet(s) of Figure(s) [] <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> After Allowance Communication to Group <input checked="" type="checkbox"/> Copy of Formalities Letter <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
REMARKS:	

SIGNATURE OF ATTORNEY OR AGENT		
Signature:		
Attorney/Reg. No.:	Robert R. Sachs, Registration No. 42,120	Dated: 2/22/01

CERTIFICATE OF MAILING		
I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Box Missing Parts, Washington, D.C. 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.		
Signature:		
Typed or Printed Name:	Robert R. Sachs	Dated: February 22, 2001
Express Mail Mailing Number (optional):		



0002/PTO(modified) Rev. 10/95 FEE TRANSMITTAL TOTAL AMOUNT OF PAYMENT Subtotal (1) + Subtotal (2) + Subtotal (3) = (\$) 2,880	Complete if Known	
	Application Number	09/606,575
	Filing Date	June 28, 2000
	First Named Inventor	Anu K. Pathria
	Group Art Unit	2751
	Examiner Name	Unknown
	Attorney Docket Number	4970

METHOD OF PAYMENT		FEE CALCULATION (continued)																																																																																									
1. The Commissioner is hereby authorized to: <input type="checkbox"/> Charge the indicated fees to the below mentioned deposit account. <input checked="" type="checkbox"/> Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account.† <input type="checkbox"/> Charge the Issue Fee set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b) to the below mentioned deposit account. Deposit Account Number: 19-2555 Deposit Account Name: FENWICK & WEST LLP A Duplicate Copy of this authorization is attached 2. <input checked="" type="checkbox"/> Payment Enclosed: [X] Checks [] Other		3. ADDITIONAL FEES <table border="1"><thead><tr><th>Large Entity Fee Code/Fee</th><th>Small Entity Fee Code/Fee</th><th>Fee Description</th><th>Fee Due</th></tr></thead><tbody><tr><td>105/\$130</td><td>205/\$65</td><td>Surcharge - late filing fee or oath</td><td>130</td></tr><tr><td>127/\$50</td><td>227/\$25</td><td>Surcharge-late provisional filing fee or cover sheet</td><td></td></tr><tr><td>147/\$2,520</td><td>147/\$2,520</td><td>For filing a request for reexamination</td><td></td></tr><tr><td>115/\$110</td><td>215/\$55</td><td>Extension for response within first month†</td><td></td></tr><tr><td>116/\$380</td><td>216/\$190</td><td>Extension for response within second month†</td><td></td></tr><tr><td>117/\$890</td><td>217/\$445</td><td>Extension for response within third month†</td><td>890</td></tr><tr><td>118/\$1,360</td><td>218/\$680</td><td>Extension for response within fourth month†</td><td></td></tr><tr><td>128/\$1,850</td><td>228/\$925</td><td>Extension for response within fifth month†</td><td></td></tr><tr><td>119/\$300</td><td>219/\$150</td><td>Notice of Appeal</td><td></td></tr><tr><td>141/\$1,210</td><td>241/\$605</td><td>Petition to revive unintentionally abandoned application</td><td></td></tr><tr><td>142/\$1,210</td><td>242/\$605</td><td>Utility Issue Fee (Or Reissue)</td><td></td></tr><tr><td>143/\$430</td><td>243/\$215</td><td>Design Issue Fee</td><td></td></tr><tr><td>122/\$130</td><td>122/\$130</td><td>Petitions to the Commissioner</td><td></td></tr><tr><td>123/\$50</td><td>123/\$50</td><td>Petitions related to provisional applications</td><td></td></tr><tr><td>126/\$240</td><td>126/\$240</td><td>Submission of Information Disclosure Statement</td><td></td></tr><tr><td>581/\$40</td><td>581/\$40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr><tr><td>146/\$690</td><td>246/\$345</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr><tr><td>149/\$690</td><td>249/\$345</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr><tr><td colspan="2">Other fee (specify):</td><td>Ten soft copies of issued patent</td><td></td></tr><tr><td colspan="2">Other fee (specify):</td><td></td><td></td></tr><tr><td colspan="2"></td><td>SUBTOTAL (3)</td><td>(\$) 1020</td></tr></tbody></table>		Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due	105/\$130	205/\$65	Surcharge - late filing fee or oath	130	127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet		147/\$2,520	147/\$2,520	For filing a request for reexamination		115/\$110	215/\$55	Extension for response within first month†		116/\$380	216/\$190	Extension for response within second month†		117/\$890	217/\$445	Extension for response within third month†	890	118/\$1,360	218/\$680	Extension for response within fourth month†		128/\$1,850	228/\$925	Extension for response within fifth month†		119/\$300	219/\$150	Notice of Appeal		141/\$1,210	241/\$605	Petition to revive unintentionally abandoned application		142/\$1,210	242/\$605	Utility Issue Fee (Or Reissue)		143/\$430	243/\$215	Design Issue Fee		122/\$130	122/\$130	Petitions to the Commissioner		123/\$50	123/\$50	Petitions related to provisional applications		126/\$240	126/\$240	Submission of Information Disclosure Statement		581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)		146/\$690	246/\$345	Filing a submission after final rejection (37 CFR 1.129(a))		149/\$690	249/\$345	For each additional invention to be examined (37 CFR 1.129(b))		Other fee (specify):		Ten soft copies of issued patent		Other fee (specify):						SUBTOTAL (3)	(\$) 1020
Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due																																																																																								
105/\$130	205/\$65	Surcharge - late filing fee or oath	130																																																																																								
127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet																																																																																									
147/\$2,520	147/\$2,520	For filing a request for reexamination																																																																																									
115/\$110	215/\$55	Extension for response within first month†																																																																																									
116/\$380	216/\$190	Extension for response within second month†																																																																																									
117/\$890	217/\$445	Extension for response within third month†	890																																																																																								
118/\$1,360	218/\$680	Extension for response within fourth month†																																																																																									
128/\$1,850	228/\$925	Extension for response within fifth month†																																																																																									
119/\$300	219/\$150	Notice of Appeal																																																																																									
141/\$1,210	241/\$605	Petition to revive unintentionally abandoned application																																																																																									
142/\$1,210	242/\$605	Utility Issue Fee (Or Reissue)																																																																																									
143/\$430	243/\$215	Design Issue Fee																																																																																									
122/\$130	122/\$130	Petitions to the Commissioner																																																																																									
123/\$50	123/\$50	Petitions related to provisional applications																																																																																									
126/\$240	126/\$240	Submission of Information Disclosure Statement																																																																																									
581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)																																																																																									
146/\$690	246/\$345	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																									
149/\$690	249/\$345	For each additional invention to be examined (37 CFR 1.129(b))																																																																																									
Other fee (specify):		Ten soft copies of issued patent																																																																																									
Other fee (specify):																																																																																											
		SUBTOTAL (3)	(\$) 1020																																																																																								
1. FILING FEE <table border="1"><thead><tr><th>Large Entity Fee Code/Fee</th><th>Small Entity Fee Code/Fee</th><th>Fee Description</th><th>Fee Due</th></tr></thead><tbody><tr><td>101/\$690</td><td>201/\$345</td><td>Utility Filing</td><td>690</td></tr><tr><td>106/\$310</td><td>206/\$155</td><td>Design Filing</td><td></td></tr><tr><td>108/\$690</td><td>208/\$345</td><td>Reissue</td><td></td></tr><tr><td>114/\$150</td><td>214/\$75</td><td>Provisional Filing</td><td></td></tr><tr><td colspan="2">SUBTOTAL (1)</td><td></td><td>(\$) 690</td></tr></tbody></table>		Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due	101/\$690	201/\$345	Utility Filing	690	106/\$310	206/\$155	Design Filing		108/\$690	208/\$345	Reissue		114/\$150	214/\$75	Provisional Filing		SUBTOTAL (1)			(\$) 690																																																																		
Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due																																																																																								
101/\$690	201/\$345	Utility Filing	690																																																																																								
106/\$310	206/\$155	Design Filing																																																																																									
108/\$690	208/\$345	Reissue																																																																																									
114/\$150	214/\$75	Provisional Filing																																																																																									
SUBTOTAL (1)			(\$) 690																																																																																								
2. CLAIMS <table border="1"><thead><tr><th>Large Entity Fee Code/Fee</th><th>Small Entity Fee Code/Fee</th><th>Fee Description</th></tr></thead><tbody><tr><td>103/\$18</td><td>203/\$9</td><td>Claims in excess of 20</td></tr><tr><td>102/\$78</td><td>202/\$39</td><td>Independent claims in excess of 3</td></tr><tr><td>104/\$260</td><td>204/\$130</td><td>Multiple dependent claim</td></tr><tr><td>109/\$78</td><td>209/\$39</td><td>Reissue independent claims over original patent</td></tr><tr><td>110/\$18</td><td>210/\$9</td><td>Reissue claims in excess of 20 and over original patent</td></tr></tbody></table>		Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	103/\$18	203/\$9	Claims in excess of 20	102/\$78	202/\$39	Independent claims in excess of 3	104/\$260	204/\$130	Multiple dependent claim	109/\$78	209/\$39	Reissue independent claims over original patent	110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent	<table border="1"><thead><tr><th colspan="2">(Col. 1)</th><th colspan="2">(Col. 2)</th><th colspan="2">(Col. 3)</th><th colspan="2"></th></tr><tr><th>For</th><th>No. of Existing Claims</th><th></th><th>Highest No. Previously Paid For</th><th></th><th>Extra**</th><th>Fee</th><th>Fee Due</th></tr></thead><tbody><tr><td>TOTAL</td><td>46</td><td>minus*</td><td>20 or</td><td>=</td><td>26</td><td>x 18</td><td>= 468</td></tr><tr><td>INDEP</td><td>12</td><td>minus*</td><td>3 or</td><td>=</td><td>9</td><td>x 78</td><td>= 702</td></tr><tr><td colspan="8">[] First presentation of multiple dependent claim</td></tr></tbody></table> <p>* Subtract the greater number of Col. 2 ** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3</p> <p>SUBTOTAL (2) (\$) 1170</p>		(Col. 1)		(Col. 2)		(Col. 3)				For	No. of Existing Claims		Highest No. Previously Paid For		Extra**	Fee	Fee Due	TOTAL	46	minus*	20 or	=	26	x 18	= 468	INDEP	12	minus*	3 or	=	9	x 78	= 702	[] First presentation of multiple dependent claim																																					
Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description																																																																																									
103/\$18	203/\$9	Claims in excess of 20																																																																																									
102/\$78	202/\$39	Independent claims in excess of 3																																																																																									
104/\$260	204/\$130	Multiple dependent claim																																																																																									
109/\$78	209/\$39	Reissue independent claims over original patent																																																																																									
110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent																																																																																									
(Col. 1)		(Col. 2)		(Col. 3)																																																																																							
For	No. of Existing Claims		Highest No. Previously Paid For		Extra**	Fee	Fee Due																																																																																				
TOTAL	46	minus*	20 or	=	26	x 18	= 468																																																																																				
INDEP	12	minus*	3 or	=	9	x 78	= 702																																																																																				
[] First presentation of multiple dependent claim																																																																																											

SUBMITTED BY		Complete (if applicable)	
Typed or Printed Name	R bert R. Sachs	Reg. Number	42,120
Signature		Date	2/22/01

A9000/00000/SF/5016699.1